USAID
DEL PUEBLO DE LOS ESTADOS UNIDOS DE AMÉRICA

Advancing Sustainable Landscapes in the Andean Amazon

Adaptive Management and Monitoring and Evaluation Framework

Submitted:

April 30, 2012

ECOLEX
CORPORACIÓN DE GESTIÓN Y DERECHO AMBIENTAL

Bosque Manejado: AIDER ¡Futuro Asegurado!

Rainforest Alliance
Alianza para Bosques

INITIATIVE FOR CONSERVATION IN THE ANDEAN AMAZON

Advancing Sustainable Landscapes in the Andean Amazon

Adaptive Management and Monitoring and Evaluation Framework

Under Cooperative Agreement No. AID-OAA-A-11-00055

CONTENTS

LIST OF ACRONYMS

AIDER	Asociación para la Investigación y el Desarrollo Integral
ECOLEX	Corporación Gestión y Derecho Ambiental
FY	Fiscal Year
GCC	Global Climate Change
GHG	Greenhouse gas
GIS	Geographical Information System
GPS	Global Positioning System
ICAA	Initiative for Conservation in the Andean Amazon
M&E:	Monitoring and Evaluation
MRV:	Measurement, Reporting and Verification
RA	Rainforest Alliance
REDD+	Reducing Emissions from Deforestation and Forest Degradation and enhancement of forest carbon stocks
NZDZ	Net Zero Deforestation Zones
NRM	Natural Resource Management
RA	Rainforest Alliance
ReLEAF	Reducing Land-use Emissions in Amazon Forests
USG	United States Government
PES	Payment for Environmental Services

1 INTRODUCTION

The conservation of biodiversity in the two landscapes in Sucumbíos, Ecuador and Cusco/Madre de Dios, Peru is the goal of the Rainforest Alliance (RA) and its partners Ecolex and AIDER. During four years the Advancing Sustainable Landscapes in the Andean Amazon landscape seeks to support the three broader objectives of the ICAA II program including:

a) Reduce rates of deforestation and biodiversity loss;

b) Enhance effective performance in key aspects of natural resource governance; and

c) Increased livelihood quality and sustainability.

Interventions are premised on key considerations like: a) local and indigenous people rely on forests to meet their own domestic needs for fuel and other forest products as well as to supplement household income where employment in agriculture or off-farm activities does not suffice to earn a living for the family; b) lack of knowledge, skills and resources coupled with barriers in market access constrain productivity and eventually farm income, necessitating the continuing cycle of forest clearing for subsistence agriculture; c) irresponsible commercial farming and logging are intensifying deforestation and land degradation; and d) lack of clarity of land titles and difficulties in enforcing land rights and other regulations are providing perverse incentives for the exploitative use of nature.

Therefore the project will follow a multifaceted strategy addressing the need for improvements and changes at two levels: a) economic level, improving production and commercialization of a cluster of farms or community-based production forests and plantations in buffer zones or eco-tourism operations and the natural areas they are based on; b) structural level to address local governance, institutional capacities, small enterprise development, markets, and higher-level policy issues.

2 ADAPTIVE MANAGEMENT AND MONITORING AND EVALUATION

Adaptive management is an approach for simultaneously managing and learning, in which learning occurs through implementing activities, monitoring these and adjusting the management strategy based on identified improvements[1]. The presented adaptive management and monitoring and evaluation framework is organized under three working axes: monitoring of project administration; monitoring of achievements in the three activity results using consolidated indicators for the entire project; and evaluating project effects and lessons learned through internal adaptive management metrics specific to each landscape. It provides information for tracking the planned activities and processes against expected results, based on the indicators established. It includes the methodology for data collection, the timing of collection, details about gathering the data and support documentation.

Specific areas in which the M&E framework will guide the management in decision-making for the program are:

- Determining whether the project's original theory of change is holding true;
- Examining targets in need of revision;
- Test project hypotheses through impacts research on specific interventions;
- Defining impact as a result of program actions (including unforeseen ones);
- Determining what implementation actions truly are working and which ones require corrective attention; and
- Extracting lessons learned from life of the program.

2.1 Project Goals and Activity Results

Rainforest Alliance's strategy for the project is designed to protect and ensure the integrity of protected areas and the vulnerable buffer zones found in the two landscapes in order to contribute to protecting remaining, largely intact areas in the Andean Amazon. The strategy for the project is designed to meet USAID's three Activity Results and builds on the assumption that local groups will protect their environment if more enabling conditions are created through building the capacity for local land-use and resource planning, strengthening local governance to carry out those plans, and growing economy opportunities that contribute to local livelihoods and biodiversity conservation. The proposed activities thus aim to create, cement, and catalyze change at structural level by making tools available to communities and local governments that can be adapted to best suit the specific geographic, economic and cultural needs found in each landscape and community or group.

[1] Williams, Byron 2011: Adaptive management of natural resources - framework and issues. Journal of Environmental Management, Volume 92, Issue 5, May 2011, Pages 1346-1353, ISSN 0301-4797

The project goal and the activity results are the following:

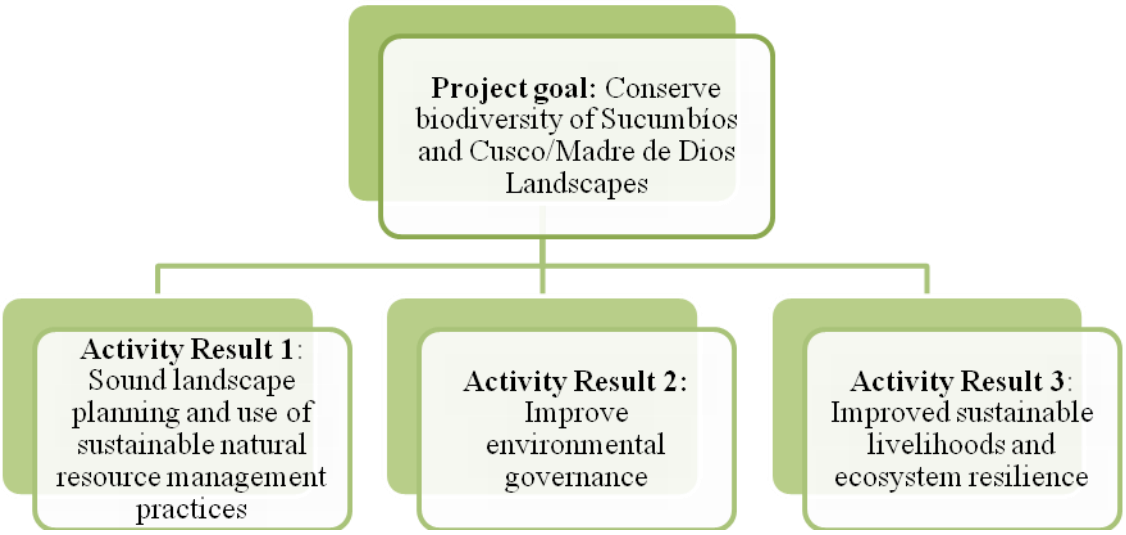

Figure 1: Project goal and activity results

2.2 Conceptual Framework

Our strategy is premised on addressing the principal threats to biodiversity and their drivers identified in the two landscapes. The principal threats include habitat degradation and habitat loss due to wholesale deforestation or land-use conversion, while the drivers or root causes of these threats can be grouped into three areas: a) limited institutional capacity by local governments and communities for natural resource management; b) limited participation in and access to programs by local groups for resource management and sustainable production chains; and c) weak organizational capacity and market linkages of local producers and operators to grow local economic opportunities. The project design focuses on addressing drivers that have the most significant impact and can be countered directly given the experience and expertise of RA and its partners in order to optimize impacts locally given the scope and level of project investments.

Below drivers are categorized into three tiers. The third tier drivers are what we refer to as the 'entry points for conservation action,' those that link directly to the project's activity results. The project design focuses on these drivers for two reasons. Firstly, they most significantly represent catalysts for change among all drivers and threats, and secondly, because they can be countered directly through the experience and expertise of RA and its partners.

The identified drivers for the Sucumbíos Landscape are:

First tier drivers:

- Oil exploration and drilling
- Poor agricultural production practices

- Unmanaged and unorganized logging
- Agricultural expansion
- Unmanaged tourism practices
- Unregulated subsistence hunting

Second tier drivers

- Ineffective implementation of natural resource management and planning
- Lack of income generating opportunities
- Weak natural resource governance in communities, private sector and municipal governments
- Lack of land-use regulation / zoning
- Lack of government natural resource incentive programs

Third tier drivers (entry points for conservation action)

- Limited ability to access government resource use programs - directly linked to Activity Result 1.
- Limited capacity of communities for natural resource management - directly linked to Activity Result 1.
- Limited governmental capacity for natural resource management - directly linked to Activity Result 1.
- Limited local participation in accessing, using and managing natural resources - directly linked to Activity Result 1.
- Indeterminate policies for management and administration (directly linked to Activity Result 2.
- Lack of knowledge or application of best management practices - directly linked to Activity Result 3.
- Weak market penetration and competitiveness - directly linked to Activity Result 3.

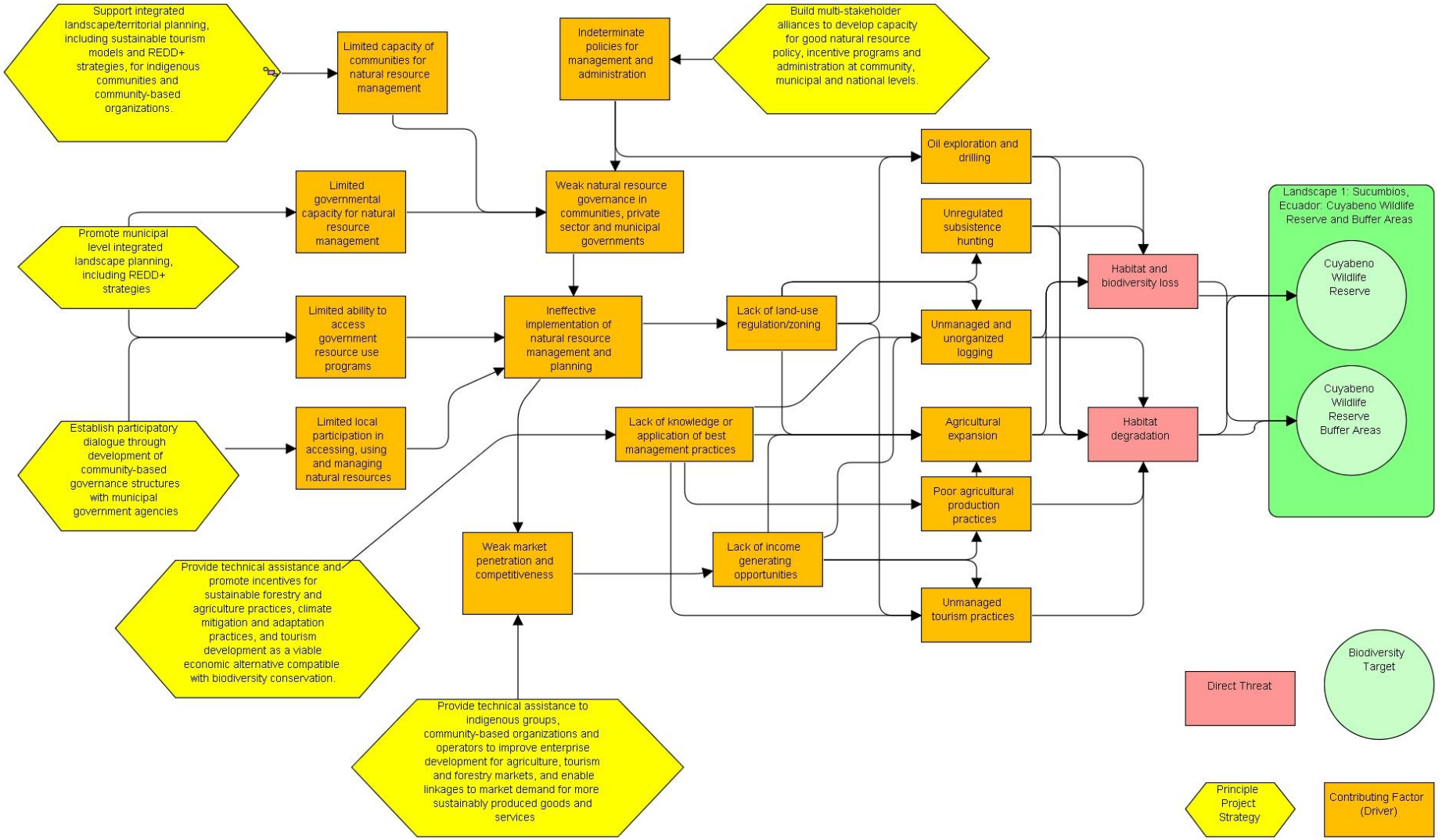

Figure 2: Conceptual Framework Sucumbíos landscape

The identified drivers for the Cusco/Madre de Dios Landscape are:

First tier drivers:

- Oil exploration and drilling
- Poor agricultural production practices
- Unmanaged and unorganized logging
- Agricultural expansion
- Development of inter-oceanic highway and other infrastructure developments
- Unmanaged tourism practices
- Unregulated subsistence hunting

Second tier drivers

- Ineffective implementation of natural resource management and planning
- Lack of income generating opportunities
- Weak natural resource governance in communities, private sector and municipal governments
- Lack of land-use regulation / zoning

Third tier drivers (entry points for conservation action)

- Limited ability to access government resource use programs - directly linked to Activity Result 1.
- Limited capacity of communities for natural resource management - directly linked to Activity Result 1.
- Limited governmental capacity for natural resource management - directly linked to Activity Result 1.
- Limited local participation in accessing, using and managing natural resources - directly linked to Activity Result 1.
- Indeterminate policies for management and administration - directly linked to Activity Result 2.
- Lack of knowledge or application of best management practices - directly linked to Activity Result 3.
- Lack of economic alternatives to compete with gold mining operations – directly linked to Activity Result 3.
- Weak market penetration and competitiveness - directly linked to Activity Result 3.

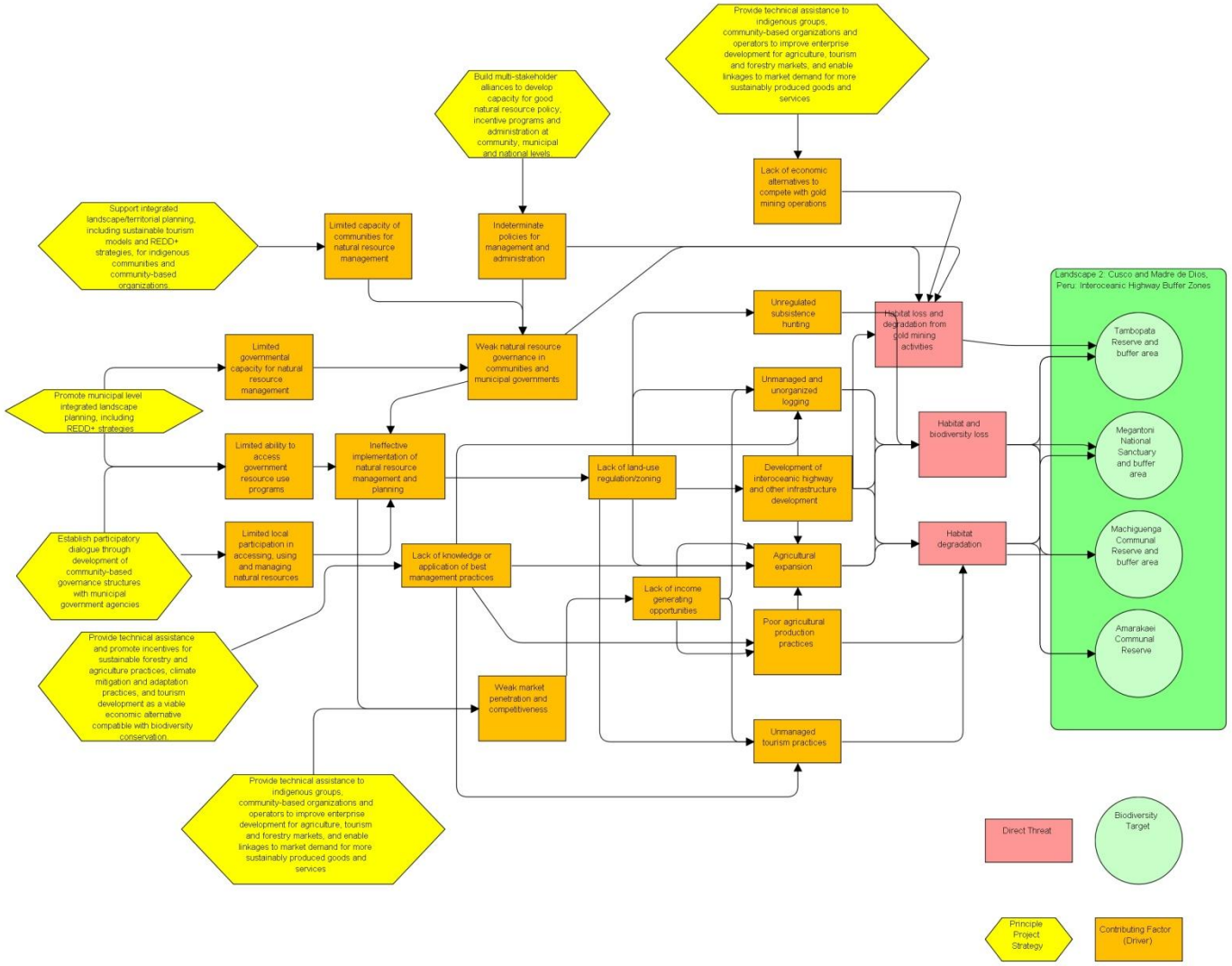

Figure 3: Conceptual Framework Madre de Dios / Cusco landscape

As included in the list above, large-scale extraction of natural resources, such as oil exploration and drilling in Ecuador, and large scale infrastructure projects like the Inter-oceanic Highway in Peru, land tenure and access, and illegal logging are also driving biodiversity loss. Because of their magnitude, complexity and persistence, it is beyond the capacity of this project's landscape focus to fully address theses nationally important issues.

Interventions are premised on key considerations like: a) local and indigenous people rely on forests to meet their own domestic needs for fuel and other forest products as well as to supplement household income where employment in agriculture or off-farm activities does not suffice to earn a living for the family; b) lack of knowledge, skills and resources coupled with barriers in market access constrain productivity and eventually farm income, necessitating the continuing cycle of forest clearing for subsistence agriculture; c) irresponsible commercial farming and logging are intensifying deforestation and land degradation; and d) lack of clarity of land titles and difficulties in enforcing land rights and other regulations are providing perverse incentives for the exploitative use of nature.

Therefore the project will follow a multifaceted strategy addressing the need for improvements and changes at two levels: a) economic level, improving production and commercialization of a cluster of farms or community-based production forests and plantations in buffer zones or eco-tourism operations and the natural areas they are based on; b) structural level to address local governance, institutional capacities, small enterprise development, markets, and higher-level policy issues.

The background of threats, drivers and strategy mentioned above is the foundation of indicators designed for this project, together with the following criteria:

- Do the indicators appropriately measure progress towards achieving the project's desired results?
- Is the measurement reliable and valid when performed by different people?
- Is the information easy to gather across project investments and report at all levels?
- Is the information useful to inform program decision-making and adaptive management processes?
  Is the indicator sensitive to changes during the execution of the project?

In addition to the program performance indicators the project will also employ remote sensing and field validation methodologies across key investment areas to monitor biodiversity attributes, notably forest extent and degradation indicators that serve as credible and feasible measures of biodiversity status over space and time. This ambitious activity will be critical in contributing quantitative information for measuring the status of the project's principle goal of conserving biodiversity.

Furthermore, impact evaluation case studies will be conducted in each landscape to validate assumptions around project intervention impacts on community livelihoods and biodiversity conservation. This impacts research will study a representative sample of the project beneficiaries and compare changing environmental, social and economic conditions against control groups representing a counterfactual outcome for the study. These evaluations will measure over the program's timeframe, thereby generating both ex-ante and ex-post data for

analysis and interpretation of effectiveness. The geographic scope and intervention types for these case studies have yet to be defined.

2.3 Indicators and Targets

The project includes two types of indicators: 1) element indicators drawn from a standardized list of USAID environmental indicators and 2) custom indicators which blend USAID-requested (but not standardized) indicators and other indicators specific to the project.

The ICAA 2 indicators are selected to measure the change of the activity results identified and where possible, shared ICAA 2 indicators were included.

Indicator data will be collected, analyzed and documented on an on-going basis by the program's executive team. Progress in the implementation of activities, major accomplishments and any issues affecting implementation will be reported in narrative form on a semi-annual basis. Overall project performance against the indicators will be evaluated annually, and any necessary changes to target levels will be incorporated into the annual planning process.

Indicators will be disaggregated by landscapes and where relevant by gender, ethnic group and age, measured with a standardized methodology and reported at least on an annual frequency.

Targets for each FY year are defined by the actual situation in each landscape, based on the experience of the technicians, realistic and ambitious to document the progress toward achieving results. Indicators targets shared with NZDZ will in some cases have the same or partial targets as NZDZ, these will be identified with a footnote.

The following section will show the project indicators and targets by activity result:

Activity Result 1: Sound landscape planning and use of sustainable NRM practices

Shared Indicator 1 Number of hectares of biological significance and/or natural recourses under improved natural resource management as a result of USG assistance.

Shared Indicator 7 Number of products related to the Andean Amazon generated by the NZDZ partners increased.

Shared Indicator 8 Number of disseminated copies of product related with the Andean Amazon generated by the NZDZ partners increased.

Shared Indicator CAP 2 Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance.

Shared Indicator CAP 3 Number of people receiving USG supported training in natural resources management and/or biodiversity conservation.

Activity Result 2: Improve environmental governance

Shared Indicator 4 Number of initiatives that promote the implementation of economic incentives increased.

Shared Indicator 5 Number of hectares under economic incentives increased.

Shared Indicator POL 1 Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance.

Shared Indicator CAP 2 Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance.

Shared Indicator CAP 3 Number of people receiving USG supported training in natural resources management and/or biodiversity conservation.

Activity Result 3: Improved sustainable livelihoods and ecosystem resilience

Shared Indicator 3 Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of USG assistance.

SL Indicator Number groups and organizations with improved organizational and enterprise capacity to manage natural resources.

2.4 Master Table

The following master table will be used in project reports presenting the summary of project indicators and targets information.

Indicador	Unidad	Disaggregation	Año 1		Año 2		Año 3		Año 4 / Vida del Proyecto	
			Meta	Actual	Meta	Actual	Meta	Actual	Meta	Actual
Activity Result 1: Sound landscape planning and use of sustainable NRM practices										
Shared Indicator 1 Number of hectares of biological significance and/or natural recourses under improved natural resource management as a result of USG assistance	# hectares	Sucumbíos Landscape total	2,500*		6,250*		136,750*		140,500*	
		Cusco/Madre de Dios Landscape total	23,553*		36,404*		78,660*		91,511*	
		Anual	**26,053**		**42,654**		**215,410**		**232,011**	
Shared Indicator 7 Number of products related to the Andean Amazon generated by the NZDZ partners increased	# products	Sucumbíos Landscape total	2*		7*		7*		13*	
		Cusco/Madre de Dios Landscape total	5*		14*		20*		29*	
		Acumulativo	**7**		**21**		**27**		**42**	
		Anual	**7**		**14**		**6**		**15**	
Shared Indicator 8 Number of disseminated copies of product related with the Andean Amazon generated by the NZDZ partners increased	# copies	Sucumbíos Landscape total	700*		2,000*		2,000*		6,000*	
		Cusco/Madre de Dios Landscape total	3,900*		11,050*		14,300*		17,550*	
		Acumulativo	**4,600**		**13,050**		**16,300**		**23,550**	
		Anual	**4,600**		**8,450**		**3,250**		**7,250**	

Indicador	Unidad	Disaggregation	Año 1		Año 2		Año 3		Año 4 / Vida del Proyecto	
			Meta	Actual	Meta	Actual	Meta	Actual	Meta	Actual
Shared Indicator CAP 2 Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance	# hours	Sucumbíos Landscape total	2,336		10,416		13,776		16,976	
		Cusco/Madre de Dios Landscape total	5,814		13,597		22,412		30,995	
		Acumulativo	**8,150**		**24,013**		**36,188**		**47,971**	
		Anual	**8,150**		**15,863**		**12,175**		**11,783**	
Shared Indicator CAP 3 Number of people receiving USG supported training in natural resources management and/or biodiversity conservation	# individuals	Sucumbíos Landscape total	242		902		1,262		1,602	
		Cusco/Madre de Dios Landscape total	1,143		2,998		5,043		6,878	
		Acumulativo	**1,385**		**3,900**		**6,305**		**8,480**	
		Anual	**1,385**		**2,515**		**2,405**		**2,175**	
Activity Result 2: Improve environmental governance										
Shared Indicator 4 Number of initiatives that promote the implementation of economic incentives increased	# initiatives	Sucumbíos Landscape total	0		4		10		21	
		Cusco/Madre de Dios Landscape total	0		1		2		5	
		Acumulativo	**0**		**5**		**12**		**26**	
		Anual	**0**		**5**		**7**		**14**	
Shared Indicator 5 Number of hectares under economic incentives increased	# hectares	Sucumbíos Landscape total	0		110		269		1,540	
		Cusco/Madre de Dios Landscape total	0		9,491		40,914		45,771	
		Cumulative	**0**		**9,601**		**41,183**		**47,311**	

Indicador	Unidad	Disaggregation	Año 1		Año 2		Año 3		Año 4 / Vida del Proyecto	
			Meta	Actual	Meta	Actual	Meta	Actual	Meta	Actual
		Annual	**0**		**9,601**		**31,582**		**6,128**	
Shared Indicator POL 1 Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change (mitigation or adaptation) and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance	# laws, policies, strategies, plans, agreements or regulations proposed, adopted or implemented	Sucumbíos Landscape total	0		3*		5*		13*	
		Cusco/Madre de Dios Landscape total	2*		4*		8*		11*	
		Cumulative	**2**		**7**		**13**		**24**	
		Annual	**2**		**5**		**6**		**11**	
Shared Indicator CAP 2 Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance	# hours	Sucumbíos Landscape total	576		2,496		4,416		6,336	
		Cusco/Madre de Dios Landscape total	4,800		8,600		12,400		16,200	
		Cumulative	**5,376**		**11,096**		**16,816**		**22,536**	
		Annual	**5,376**		**5,720**		**5,720**		**5,720**	
Shared Indicator CAP 3 Number of people receiving USG supported training in natural resources management and/or biodiversity conservation	# individuals	Sucumbíos Landscape total	90		240		390		540	
		Cusco/Madre de Dios Landscape total	200		500		800		1,100	
		Cumulative	**290**		**740**		**1,190**		**1,640**	
		Annual	**290**		**450**		**450**		**450**	
Activity Result 3: Improved sustainable livelihoods and ecosystem resilience										

Indicador	Unidad	Disaggregation	Año 1		Año 2		Año 3		Año 4 / Vida del Proyecto	
			Meta	Actual	Meta	Actual	Meta	Actual	Meta	Actual
Shared Indicator 3 Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of USG assistance	# individuals	Sucumbíos Landscape total	0		0		0		740*	
		Cusco/Madre de Dios Landscape total	0		0		0		740*	
		Cumulative	**0**		**0**		**0**		**1,480**	
		Annual	**0**		**0**		**0**		**1,480**	
SL Indicator Number groups and organizations with improved organizational and enterprise capacity to manage natural resources	# groups	Sucumbíos Landscape total	2		8		10		12	
		Cusco/Madre de Dios Landscape total	2		6		12		17	
		Acumulativo	**4**		**14**		**22**		**29**	
		Annual	**4**		**10**		**8**		**7**	

*Targets partially or completely shared with NZDZ

3 PERFORMANCE INDICATOR REFERENCE SHEETS

The following indicator reference sheets detail the description, source and method for data collection, data limitations, and cost effort.

3.1 Activity Result 1 Sound landscape planning and use of sustainable NRM practices

Activity Result 1 Sound landscape planning and use of sustainable NRM practices **Shared Indicator 1** Number of hectares of biological significance and/or natural recourses under improved natural resource management as a result of USG assistance
INDICATORS DESCRIPTION
Precise definition of Indicator: "Improved natural resource management" includes activities that promote enhanced management of natural resources for one or more objectives, such as conserving biodiversity, sustaining soil or water resources, mitigating climate change, and/or promoting sustainable agriculture. An area is considered under ***"improved natural resource management"*** when any one of the following occurs: 1. Change in legal status favors conservation or sustainable NRM; 2. A local site assessment is completed which informs management planning; 3. Management actions are designed with appropriate participation; 4. Human and institutional capacity is developed; 5. Management actions are implemented; 6. Ongoing monitoring and evaluation is established; 7. Adaptive management is demonstrated; or 8. On-the-ground management impacts are demonstrated. As long as one of the mentioned activities is implemented the numbers of hectares can be counted as "improved natural resource management" Reported as total number of hectares improved during the fiscal year in question, which can include maintained hectares in previously reported hectares (these are areas with ongoing activities during the life of project) and/or new, additional hectares. ***Biological categories***: 1. Biological significance: national, regional or global evaluations that determines the biological significance of the area 2. Natural resources ***Land ownership:*** 1. Indigenous lands

2. Public protected areas
3. Private land under productive use or in conservation
4. Non indigenous landowner groups

Unit of Measurement: Number of hectares

Disaggregation: Landscape, biological category and type of land ownership

COLLECT AND GATHERING

Method: Project technical staff reporting on relevant parameters; areas need to be supported by geographical information; each year the hectares need to be qualified under "improved natural resource management"; not accumulative

Source: Official document for legal status change, site assessment reports, documentation for human capacity developed, recognized sustainable certification, verification tools, internal audit, M&E documentation, documentation for land boundary delineation, data collection (natural resources, social, economic, legal) etc.

Frequency: Annual

Responsible: Technical staff and Technical Coordination Manager

Costs: Medium – support documentation can increase the costs
Methodology for data analysis: Quantitative and qualitative: through technical report including support documentation.

Reports: Database with support documentation.

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			
2015			

OTHER

Limitation for data: Validity, integrity and reliability of data are high but regular data quality analysis is necessary. "Improved natural resource management" is a relative term, and annual qualification done by project staff could be cause interest conflict.

Ways of dealing with limitations: Train project staff and use objective tools to document "improved natural resource management"

THIS SHEET LAST UPDATED ON 30 APRIL 2012

Activity Result 1 Sound landscape planning and use of sustainable NRM practices

Shared Indicator 7 Number of products related to the Andean Amazon generated by the ICAA partners increased

INDICATORS DESCRIPTION

Precise definition of Indicator: Printed and digital material elaborated during the project for internal and / or external circulation generated by NZDZ partners. Products can be:

1. Training material (e.g. presentations, manuals, etc.)
2. Knowledge information (e.g. investigations, evaluations, systematizations etc.)
3. Communication (videos, press release, booklets, posters etc.)
4. Reports (plans, progress reports) and
5. Others

Unit of Measurement: Number of products

Disaggregation: Landscape

COLLECT AND GATHERING

Method: Data will be collected through reporting to USAID and evidence of materials produced (i.e. as Annexes to reports; publications or documents available on the intranet platform).

Source: Hard or digital copy of elaborated products

Frequency: Quarterly

Responsible: Technical staff and Technical Coordination Manager

Costs: Low

Methodology for data analysis: Quantitative and qualitative: through support documentation.

Reports: Database with support documentation.

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Means of verification could be difficult to collect because of the dispersion of the documentation.

Ways of dealing with limitations: Organize and systemize from the beginning of the project the information.

THIS SHEET LAST UPDATED ON 30 APRIL 2012

Activity Result 1 Sound landscape planning and use of sustainable NRM practices

Shared Indicator 8 Number of disseminated copies of product related with the Andean Amazon generated by the ICAA partners increased

INDICATORS DESCRIPTION

Precise definition of Indicator: Disseminated copies of products reported under indicator 5 available to people through different media (direct delivery, website downloads, shipping newsletter, posting on social media, radio or television transmission) and product (printed or electronic / digital).

Unit of Measurement: Copies of products disseminated

Disaggregation: Landscape

COLLECT AND GATHERING

Method: Number of copies of materials produced registered.

Source: Products printed, visits on internet page, listener to radio, etc.

Frequency: Quarterly

Responsible: Technical staff and Technical Coordination Manager

Costs: Low to medium – due to type of copies
Methodology for data analysis: Quantitative and qualitative: through support documentation.

Reports: Database on the intranet platform

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Dissemination will be through media where the control of copies will be difficult to determine.

Ways of dealing with limitations: Define estimation of copies for special media before dissemination.

THIS SHEET LAST UPDATED ON 30 APRIL 2012

Activity Result 1 Sound landscape planning and use of sustainable NRM practices

Shared Indicator CAP 2 Number of person hours of training in natural resources management and/or biodiversity conservation supported by USG assistance

INDICATORS DESCRIPTION

Precise definition of Indicator: This indicator counts training hours that were delivered in full or in part as a result of USG assistance registered under indicator 8.

Hours of USG supported training course x Number of people ***completing*** that training course

Unit of Measurement: Number of hours

Disaggregation: Landscape, gender, age

COLLECT AND GATHERING

Method: At the end of every training session, partners will complete a training tracking sheet that includes information on number of people trained, type of training, gender of trainees, date, hours and location of training, and other miscellaneous information

Source: Register form and list of participants at the end of each training course

Frequency: Quarterly

Responsible: Technical staff and Technical Coordination Manager

Costs: Low

Methodology for data analysis: Quantitative. Training totals will be summarized and then disaggregated by gender, theme, country and other relevant variables.

Reports: Database on the intranet platform

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Lists may sometimes be incomplete in disaggregation aspects, or participants may be unwilling to provide their personal information.

Ways of dealing with limitations: Pre-formatted records, and focus on educating participants on why we are collecting the information.

THIS SHEET LAST UPDATED ON 30 APRIL 2012

Activity Result 1 Sound landscape planning and use of sustainable NRM practices

Shared Indicator CAP 3 Number of people receiving USG supported training in natural resources management and/or biodiversity conservation

INDICATORS DESCRIPTION

Precise definition of Indicator: The number of individuals participating in learning activities intended for teaching or imparting knowledge and information on NRM and biodiversity conservation to the participants. There should be designated instructors or lead persons, learning objectives and outcomes, conducted fulltime or intermittently. NRM and biodiversity conservation training can consist of transfer of knowledge, skills, or attitudes through structured learning and follow-up activities, or through less structured means, to solve problems or fill identified performance gaps. Training can consist of long-term academic degree programs, short- or long-term, non-degree technical courses in academic or other settings, non-academic seminars, workshops, on-the-job learning experiences, observational study tours, or distance learning exercises or interventions.

Minimum number of participants: 5

Unit of Measurement: Number of individuals; Each time an individual receives a discrete type of training, counts as "1" instance of an individual trained.

Disaggregation: Landscape, gender, age

COLLECT AND GATHERING

Method: At the end of every training session, partners will complete a training tracking sheet that includes information on number of people trained, type of training, gender of trainees, date, hours and location of training, and other miscellaneous information.

Source: Register form and list of participants of each training course

Frequency: Quarterly

Responsible: Technical staff and Technical Coordination Manager

Costs: Low

Methodology for data analysis: Quantitative. Training totals will be summarized and then disaggregated by gender, theme, country and other relevant variables.

Reports: Database on the intranet platform

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Lists may sometimes be incomplete in disaggregation aspects, or participants may be unwilling to provide their personal information.

Ways of dealing with limitations: Pre-formatted records, and focus on educating participants on why we are collecting the information.

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3.2 Activity Result 2: Improve environmental governance

Activity Result 2 Improve environmental governance

Shared Indicator 4 Number of initiatives that promote the implementation of economic incentives increased

INDICATORS DESCRIPTION

Precise definition of Indicator: Initiatives supported by ICAA 2 that promote the implementation of economic incentives through payment for environmental services, REDD+ and other types of programs that encourage the conservation of biodiversity.

Types of support can be:

1. Formulation of project profile, schedules, contracts
2. Specific studies and
3. Preparatory activities necessary for the development of economic incentive programs

Unit of Measurement: Number of initiatives

Disaggregation: Landscape

COLLECT AND GATHERING

Method: Data will be collected through evidence of materials produced (i.e. as Annexes to reports; publications or documents available on the intranet platform)

Source: Project documents and support materials (e.g. policy proposals submitted to government)

Frequency: Annual

Responsible: Technical staff and Technical Coordination Manager

Costs: Low

Methodology for data analysis: Quantitative and qualitative: through technical report including support documentation.

Reports: Database on the intranet platform

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Conflicts in the community or organized group can slow down the process..

Ways of dealing with limitations: Appropriate facilitation to communicate the purpose of the initiative and defining the benefits during the early stadium of application

THIS SHEET LAST UPDATED ON 30 APRIL 2012

Activity Result 2 Improve environmental governance

Shared Indicator 5 Number of hectares under economic incentives increased

INDICATORS DESCRIPTION

Precise definition of Indicator: Hectares that will be included in the iinitiatives under shared indicator 4.

Geographical information for the area has to be provided.

Unit of Measurement: Number of hectares under economic incentives

Disaggregation: Landscape

COLLECT AND GATHERING

Method: Areas need to be supported by geographical information, e.g. maps

Source: Geographical information, documentation

Frequency: Annual

Responsible: Technical staff and Technical Coordination Manager

Costs: Low

Methodology for data analysis: Quantitative and qualitative: through technical report including support documentation.

Reports: Database on the intranet platform

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Conflicts in the community or organized group can slow down the process..

Ways of dealing with limitations: Appropriate facilitation to communicate the purpose of the initiative and defining the benefits during the early stadium of application

THIS SHEET LAST UPDATED ON 30 APRIL 2012

Activity Result 2 Improve environmental governance

Shared Indicator POL 1 Number of laws, policies, strategies, plans, agreements, or regulations addressing climate change and/or biodiversity conservation officially proposed, adopted, or implemented as a result of USG assistance

INDICATORS DESCRIPTION

Precise definition of Indicator: Policies, laws, strategies, plans, agreements and regulations developed and/or implemented by governmental, non-governmental, civil society, and/or private sector stakeholders to address climate change and/or biodiversity conservation issues. As adoption frequently depends on complex political motivations, adoption is aspirational and may be difficult to achieve.

For interpretation of this indicator, a qualitative description should be provided to explain what the number represents, particularly:

1. What is the title of the measure?
2. At what stage is it? (e.g., officially proposed, adopted, or implemented?)
3. How does the measure contribute to climate change and / or biodiversity conservation?
4. What is/are the institution(s) that will be implementing and/or enforcing the measure, and at what scale (e.g., national, state, municipal, community)?

Unit of Measurement: Laws, policies, strategies, plans, agreements or regulations proposed, adopted or implemented; each instance of development, proposal, adoption and/or implementation will count independently.

Disaggregation: Landscape, type.

COLLECT AND GATHERING

Method: Data will be collected through evidence of materials produced (i.e. as Annexes to reports; publications or documents available on the intranet platform)

Source: Project documents and support materials (e.g. policy proposals submitted to government)

Frequency: Annual

Responsible: Technical staff and Technical Coordination Manager

Costs: Low

Methodology for data analysis: Quantitative and qualitative: through technical report including support documentation.

Reports: Database on the intranet platform

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: The calcification of implementation could be subjective and the consistence depends on the reporting people.

Ways of dealing with limitations: Provide guidance for measuring the progress of the implementation.

THIS SHEET LAST UPDATED ON 30 APRIL 2012

3.3 Activity Result 3: Improved sustainable livelihoods and ecosystem resilience

Activity Result 3 Improved sustainable livelihoods and ecosystem resilience

Shared Indicator 3 Number of people with increased economic benefits derived from sustainable natural resource management and conservation as a result of USG assistance

INDICATORS DESCRIPTION

Precise definition of Indicator: "Increased economic benefits" are direct or indirect benefits derived from sustainable management or conservation of natural resources.

A ***direct economic benefit*** would mean personal employment, expansion of other income-earning opportunities or increased availability of credit, economic incentives or other inputs. An ***indirect benefit*** might be gained by other members of the household, via another person in their household, or others in the community.

Economic benefits from conservation should be directly linked to environmentally friendly practices or economic incentive programs.

Unit of Measurement: Number of individuals

Disaggregation: Landscape, direct and indirect beneficiaries

COLLECT AND GATHERING

Method: Establish baseline in year 1 and collect data about increased economic benefits at the end of the project

Source: Primary data collection

Frequency: At the end of the project

Responsible: Consultant, Technical staff and Technical Coordination Manager

Costs: Medium to high - due to need of field survey and / or evaluation
Methodology for data analysis: Quantitative and qualitative: through technical report including support documentation.

Reports: Documentation of a qualitative survey or evaluation

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Project beneficiaries are not confident with project staff and give limited or incorrect information on their income and costs; sample size limitation

Ways of dealing with limitations: Involve local people in gathering information; return to the same households over time

THIS SHEET LAST UPDATED ON 30 APRIL 2012

Activity Result 3 Improved sustainable livelihoods and ecosystem resilience

SL Indicator 3 Number groups and organizations with improved organizational and enterprise capacity to manage natural resources

INDICATORS DESCRIPTION

Precise definition of Indicator: "Improved organizational and enterprise capacity" will be evaluated with a test before and after training of the group participating. It is considered that a group has increased their knowledge when their scores on the test after the training is higher than the score obtained in the entrance test.

Unit of Measurement: Number of groups

Disaggregation: Landscape

COLLECT AND GATHERING

Method: Tests addressing the training topic will be realized before and after the training

Source: Primary data collection

Frequency: Annual

Responsible: Technical staff and Technical Coordination Manager

Costs: Medium - due to need of primary data collection

Methodology for data analysis: Quantitative and qualitative: through technical report including support documentation.

Reports: Database with support documentation.

PERFORMANCE INDICATOR VALUE

Fiscal Year	Target	Actual	Notes
2012			
2013			
2014			

OTHER

Limitation for data: Project beneficiaries are not confident with project staff and give limited or incorrect information

Ways of dealing with limitations: Pre-formatted records, and focus on educating participants on why we are collecting the information.

THIS SHEET LAST UPDATED ON 30 APRIL 2012